



FEDERAL TRANSIT ADMINISTRATION

# North Carolina Public Transportation Division Conference Tuesday September 26, 2017

**Robert Buckley, AICP - Director**

Office of Financial Management  
and Program Oversight (OFPO)

**Tajsha LaShore, MPA**

Community Planner - NC



U.S. Department of Transportation  
Federal Transit Administration

FTA Region IV

# Agenda

- Welcome and Introductions
- Organizational Updates
- National Updates
- Regional Updates
  - OPPD
  - PMPO
  - OFPO
  - Civil Rights
  - Legal

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# ORGANIZATIONAL UPDATES



Federal Transit Administration  
Region IV, Organizational Chart

**Regional Administrator**  
*Yvette Taylor, PhD*

**Deputy Regional Administrator**  
*Dudley Whyte*

Administrative Officer  
*Fredaricka Tolen*  
Administrative Assistant  
*Jennifer Boyer*  
*Nancy Pruitt*  
Program Analyst  
*Roxanne Ledesma*  
Program Management Spc  
*(Vacant)*

Civil Rights Officer  
*Dee Foster*

Regional Counsel  
*Micah Miller*

**Director, Office of  
Planning &  
Program Development**  
*Keith Melton*

**Director, Office of  
Program Management &  
Project Oversight**  
*Margarita Sandberg*

**Director, Office of  
Financial Management &  
Program Oversight**  
*Robert Buckley, AICP*

General Engineer  
*Andres Ramirez, P.E. \**  
Community Planners  
*Tajsha LaShore*  
*Keith Melton*  
*Parris Orr*  
*Abigail Rivera*  
*Nicole Spivey*  
*(Vacant)*  
Environmental Program Spc  
*Stan Mitchell*  
*Carrie Walker*

GA-FL Team  
Team Leader  
*Chris White*  
General Engineer  
*Gregory Chilik*  
*Jessica Granell*  
Community Planner  
*Richelle Gosman*  
*Parris Orr*  
Transportation Prog. Spc  
*Lauren Pessoa*

Puerto Rico Team  
Team Leader  
*Jessica Granell*  
General Engineer  
*Jaymei Kinney*  
*Emmanuel Ramos*  
*Jorismar Torres*  
Community Planner  
*Holly Peterson*

General Engineers  
*Gregory Chilik, P.E.*  
*Jessica Granell, Ph.D. \**  
*Guanying Lei, P.E.*  
*Emmanuel Ramos, P.E.*  
*(Vacant)*  
Student Engineer  
*Layana George \**  
Transportation Program Spc  
*Lauren Pessoa*  
SAN JUAN REMOTE OFFICE  
General Engineer  
*Jorismar Torres Hernandez*  
General Engineer (Term)  
*Jaymei Kinney*

General Engineers  
*David Powell, P.E. \**  
*Christopher White \**  
Transportation Program Spc  
*Marie Lopez*  
*David Mucher*  
Community Planners  
*Richelle Gosman \**  
*Holly Peterson \**  
*Valencia Williams \**  
Program Analyst  
*Rhonda King*  
Contractor (Procurement)  
*Dwight Hill*

States Team  
Team Leader  
*Holly Peterson*  
General Engineer  
*Jorismar Torres*  
Community Planner  
*Richelle Gosman*  
*Valencia Williams*  
Program Analyst  
*Roxanne Ledesma*

\* Supports multiple offices

# Organizational Updates

- OFPO Responsibilities
  - Oversight Reviews (TR, SMR, PSR, FMO, etc.)
  - Audit responses (OIG, GAO, IPERIA, etc.)
  - Inactive/Fully Disbursed Grants
  - Financial Reservations/Tracking
  - DOTs
  - Safety
  - Policy (including Super Circular)
  - Emergency Response
  - Training Lead (Internal/External)

# Organizational Updates

- **North Carolina**

- Valencia Williams, NCDOT  
404-865-5634  
Valencia.Williams@dot.gov
- Tajsha LaShore, Pre Award  
404-865-5606  
Tajsha.LaShore@dot.gov
- Guanying Lei, Post Award  
404-865-5615  
[Guanying.Lei@dot.gov](mailto:Guanying.Lei@dot.gov)
- Patrick Winders, Post Award – Temporary  
404-865-5639  
Patrick.Winders@dot.gov

# Organizational Updates

- The Region 4 Organizational Chart & Geographic Assignments are updated regularly.
- These resources will be posted on the Region 4 website:

<https://www.transit.dot.gov/about/regional-offices/region-4/region-4-staff-organization>

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# NATIONAL UPDATES



# National Updates

- FY2016 Accomplishments
- Circular Updates
- Federal Register Notices
- Transit Asset Management
- TrAMS

# National Updates

## FY 2016 Accomplishments

- FTA Awarded 1,703 Grants in FFY2016
- Totaled \$11,472,020,155
- FY 16 funds awarded is comparable to recent fiscal years.
- FY 16 grants awarded is lower than in recent fiscal years.

# National Updates

	2016 Grant Awards					
	<u>TEAM</u>		<u>TrAMS</u>		<u>Grand Total</u>	
	<u># of Grants</u>	<u>Grant Amount</u>	<u># of Grants</u>	<u>Grant Amount</u>	<u># of Grants</u>	<u>Grant Amount</u>
AL Total	2	\$ 3,856,103	17	\$ 44,290,889	19	\$ 48,146,992
FL Total	28	\$ 144,113,809	61	\$ 247,485,967	89	\$ 391,599,776
GA Total	3	\$ 10,958,313	23	\$ 157,362,645	26	\$ 168,320,958
KY Total	2	\$ 3,673,537	19	\$ 56,922,094	21	\$ 60,595,631
MS Total	3	\$ 2,913,809	8	\$ 26,618,920	11	\$ 29,532,729
NC Total	7	\$ 6,225,668	45	\$ 257,240,701	52	\$ 263,466,369
PR Total	1	\$ 8,667,434	13	\$ 54,629,912	14	\$ 63,297,346
SC Total	5	\$ 7,205,235	21	\$ 19,023,613	26	\$ 26,228,848
TN Total	4	\$ 3,847,317	33	\$ 84,331,457	37	\$ 88,178,774
VI Total	0	\$ -	2	\$ 7,690,323	2	\$ 7,690,323
Grand Total	55	\$ 191,461,225	242	\$ 955,596,521	297	\$ 1,147,057,746

# National Updates

Circular Reference/Program	Circular Title	Estimated Publication Date
<b>C.5010.1E</b>	<b>Grant Management Requirements</b>	July 2017
<b>C.9030.1E/5307</b>	<b>Urbanized Area Formula Program: Program Guidance and Application Instructions</b>	Fall 2017
<b>C.9040.1G/5311</b>	<b>Formula Grants for Rural Areas: Program Guidance and Application Instructions</b>	Fall 2017
<b>C.5100.1/5339</b>	<b>Bus and Bus Facilities Program: Guidance and Application Instructions</b>	Fall 2017
<b>C.9070.1G/5310</b>	<b>Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions</b>	Winter 2017-18
<b>C.5300.1/5337</b>	<b>State of Good Repair Grant Program: Guidance and Application Instructions</b>	Winter 2017-18

# National Updates

- C 5010.1E Update
  - Effective as of 7/21/17
- <https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/grant-management-requirements-circular-50101e-july-2017>
- This July 2017 Page revisions updates FTA's Award Management Requirements Circular (5010.1E) and is intended to provide better understanding and clarity regarding:
  - FTA's pre-award authority
  - Extensions to the award end date and period of performance
  - Requirements for award budget revisions and award amendments
  - Requirements for indirect costs
  - Program income information
  - Correcting legal citations, broken links and typographical errors.
    - These page updates replace the March 21, 2017 version of FTA Circular 5010.1E.

# National Updates

- Federal Register Notices
  - [Bus & Bus Facilities NOFO](#)
    - Posted 7/18/17,
    - **Due 8/25/17 to Grants.Gov**
  - \$226.5M Available
  - Eligible Projects:
    - Capital projects to replace, rehabilitate, purchase or lease buses and related equipment, and to rehabilitate, purchase, construct or lease bus-related facilities. am prior to the announcement of project selections.

# National Updates

- Federal Register Notices
  - [Private Investment Project Procedures NPRM](#)
    - *FTA is proposing new, experimental procedures to encourage increased project management flexibility, more innovation in project funding, improved efficiency, timely project implementation, and new project revenue streams. A primary goal is to address impediments to the greater use of public-private partnerships (P3s) and private investment in public transportation capital projects (Private Investment Project Procedures or PIPP)*
    - Published 7/31/17
    - Comments by 9/29/17

# National Updates

- **FTA Issued Public Transportation Safety Program Final Rule**

On August 11, 2016 FTA issued the Public Transportation Safety Program final rule that establishes procedural rules for FTA to administer a comprehensive safety program. The final rule sets procedural rules for FTA to issue directives and advisories to the public transportation industry and formally adopts the Safety Management Systems (SMS) approach to safety. SMS is a risk-based approach that builds on existing transit safety practices. Below are the four pillars of SMS:

1. Safety Management Policy
2. Safety Risk Management
3. Safety Assurance
4. Safety Promotion

<https://www.transit.dot.gov/about/news/federal-transit-administration-issues-public-transportation-safety-program-final-rule>



# National Updates

- **FTA Issued New Rule to Improve Bus Testing, Safety, Reliability**

On August 1, 2016 FTA announced a final rule that will improve the process for ensuring safety and reliability of new transit buses funded with FTA dollars. The new rule establishes a set of minimum performance standards, a standardized scoring system, and a pass-fail threshold that will better inform local transit agencies as they evaluate and purchase buses. The FTA Bus Testing Facility will largely remain intact, but data generated will be used to apply a new 100-point scoring system to tested buses.

<https://www.transit.dot.gov/about/news/us-department-transportation-announces-new-rule-improve-bus-testing-safety-reliability>

# National Updates

- Transit Asset Management (TAM)
  - Final Rule effective date October 1, 2016
  - Initial State of Good Repair (SGR) performance targets were to be set by January 01, 2017
  - MPO Targets established by June 30, 2017
    - Neither to be reported to FTA.
    - SGR target reporting will be done to NTD annually
  - Initial TAM Plans to be completed no later than October 2018
  - Oversight reviews on TAM to begin in FY2019
  - FTA TAM website: [www.transit.dot.gov/TAM](http://www.transit.dot.gov/TAM)

# National Updates

## TrAMS

**TrAMS Enhancements and Tip Sheets** on the  
FTA TrAMS Page at

<https://www.transit.dot.gov/trams>

# National Updates

## TrAMS

- New Training page:  
<https://www.transit.dot.gov/funding/grantee-resources/teamtrams/trams-guidance-training>

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# REGIONAL UPDATES

# Office of Planning and Program Development (OPPD) Updates

- Grant Reminders – Next application season
- Environmental Updates

# OPPD Updates

FY 17 FTA Region IV Important Grant Deadlines	
Date	Action
<b>Immediately</b>	<ul style="list-style-type: none"> <li>Review carryover and lapsing balances.</li> <li>Confirm funding is appropriately shown in the TIP/STIP.</li> </ul>
<b>January 2017</b>	<ul style="list-style-type: none"> <li>Share with FTA Community Planner the anticipated timeline for application funding in FY 17, highlighting applications containing lapsing and critical funding.</li> <li>Discuss any required NEPA determinations needed for grant applications in FY 17.</li> </ul>
<b>March 30, 2017</b>	TrAMS Transmittal deadline for all applications containing lapsing funds.
<b>April 30, 2017</b>	<ul style="list-style-type: none"> <li>TrAMS Transmittal deadline for all other current year and non-lapsing grant applications, including critical cash flow funds.</li> <li>TrAMS Submittal deadline for all applications containing lapsing funds.</li> </ul>
<b>May 30, 2017</b>	TrAMS Submittal deadline for all applications for current year and non-lapsing grant applications, including critical cash flow funds.
<b>September 22, 2017</b>	TrAMS is now closed.

# OPPD Updates

## FY 2017 TrAMS Updates

- TrAMS closed on 9/22/2017 at 6:00 p.m., EST
- ECHO closes on 9/26/2017 at 2:00 p.m., EST
  - Re-opens 10/6/2017 at 2pm



# OPPD Updates – Next Grants (applications) Season

## Grant Reminders

- Ensure projects/funds included in the STIP/TIP/UPWP.
- Environmental/Section 106 Requirements
- Amendments to TEAM grants in TrAMS limited
- TrAMS Amendments
- Super grants
- Work with Region IV if there are questions regarding how to set up the grant budget

# OPPD Updates

## Environmental

- Reminders
  - **Coordinate early** with FTA Region IV on any construction/rehabilitation projects
  - <https://www.transit.dot.gov/about/regional-offices/region-4/environmentnepa-resources>
  - **NEPA Initiation Checklist** (Facilities/Linear Projects)
    - Project Description, location, pictures, etc.
    - Completed Example Provided
  - **Section 106 Initiation Checklist**
    - Project Description, location, pictures, nearly historic districts buildings, etc.

# Region 4 NEPA Responsibilities

- FTA will ask the grantee for completed checklists (NEPA and Section 106 Checklists).
- FTA will determine the class of action (COA) based on the completed checklists.
- FTA will review environmental documents for technical and legal sufficiency.
- FTA will initiate consultation to satisfy Section 106 of the National Historic Preservation Act.
- FTA will be the Federal decision maker for NEPA.

# Grantee Responsibilities

- The Grantee will provide a clear, accurate, complete checklists to FTA.
- The Grantee will complete the required NEPA documentation based on FTA's class of action.
- The Grantee will provide FTA with all necessary documents for review.
- The Grantee will notify FTA of any changes to the proposed project.

# Environmental Updates

## FTA Region IV Environmental Protection Specialist Contact Information:

Stan Mitchell, EIT, MBA

FTA Region IV

Phone: (404) 865-5643

E-mail:

[stanley.a.mitchell@dot.gov](mailto:stanley.a.mitchell@dot.gov)

Julia “Carrie” Walker, MHP

FTA Region IV

Phone: (404) 865-5645

E-mail:

[julia.walker@dot.gov](mailto:julia.walker@dot.gov)

# Office of Program Management and Project Oversight (PMPO) Updates

- General Reporting Requirements
- Grants Management
- Project Management
- Incidental Use

# PMPO Updates

## General Reporting Requirements

- A-133 – submit your FY16 reports and/or SAC Forms
- Grant Quarterly Review Reminders
  - FFR (Federal Financial Reviews) expenses should be reported in accrual basis
  - MPR (Milestone Progress Report) please include project details and keep milestone dates current
  - Be sure to “submit” reports or they remain in draft form
- Annual Reports **DUE October 30, 2017**

# PMPO Updates

- Grants Management
  - Expedite closeout of grants that are 95%-100% expended.
  - Inactive Grants
    - Inactive = Over 3 years old AND 12 months without a disbursement
    - Receive greater scrutiny from Region and HQ
    - Annually, FTA develops list of Inactive Grants requiring closeout in the FY.




# PMPO Updates

- Project Management
  - Submit to FTA all outstanding claims information over \$100,000 and all claims settled during the reporting period. Include a brief description, estimated costs, and reason for the claim.
  - List of all potential and executed change orders over \$100,000, pending or settled, during the reporting period with brief description.
  - Ensure all vendors and contractor are complying with all applicable Federal requirements
  - Ensure any subrecipients are complying with all applicable Federal requirements

# PMPO Updates

## Incidental Uses of Federal Assets

- Remember all non-transit use of a Federal Asset requires FTA concurrence per Circular 5010.1E
- To facilitate this process we're now using a new Incidental Use form
- Contact your Program Manager for a copy of the form.

 U.S. Department of Transportation  
Federal Transit Administration

REGION IV  
Alabama, Florida, Georgia,  
Kentucky, Mississippi,  
North Carolina, Puerto  
Rico, South Carolina,  
Tennessee

200 Peachtree Street, NW  
Suite 1400  
Atlanta, GA 30303-6617  
404-642-2600  
404-642-2605 (fax)

FACILITY INCIDENTAL Use Request | REGION IV

Requesting Agency: [Click Here to enter text](#) Request Date: [Click Here to enter text](#)

Subject: [Click Here to enter text](#)

FTA Program Manager: [Click Here to enter text](#)

I. Existing Facility Description (attach plans):

a. Total Area of Facility

b. Area currently used for Transit & Brief Description of Use

c. Area currently used for Purposes other than Transit & Brief Description of Use

d. Grant(s) used to Fund the Facility

e. Percent (%) Federal Participation

f. In-service Date

g. Useful Life of the Facility

# Office of Financial Management & Program Oversight (OFPO) Updates

- FTA Oversight
- FTA Oversight Reviews
- Common Triennial Review Findings

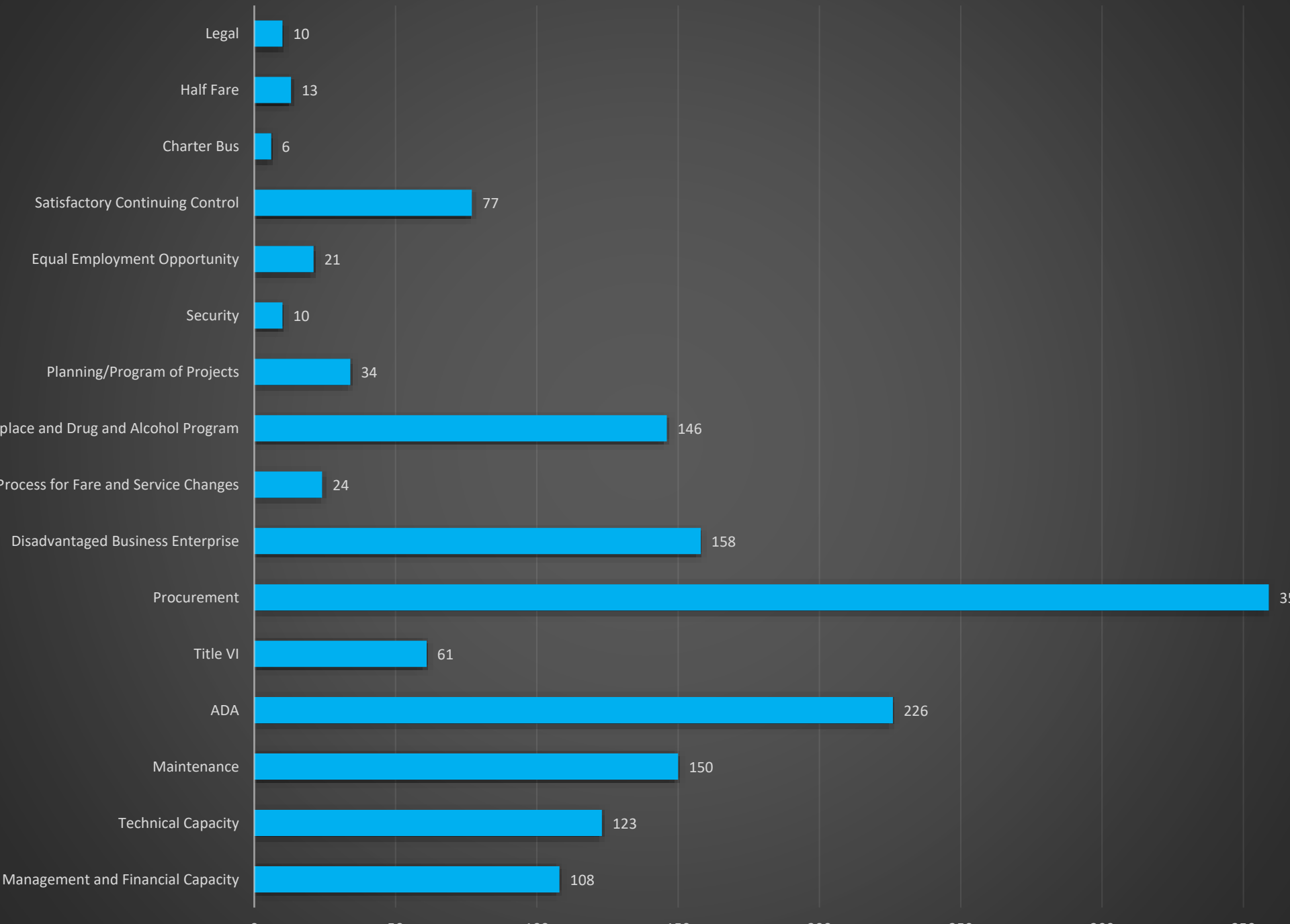
# OFPO Updates

- **Oversight Definition:**
  - Continuous review and evaluation of grantee and FTA processes to ensure compliance with statutory, administrative, and regulatory requirements.
- **Oversight Goal:**
  - Projects provide their promised benefits, are safe and can be properly maintained, and are delivered on time, within budget and in compliance with all applicable Federal requirements.

# OFPO Updates

- **Oversight Reviews:**
  - Triennial Review
  - State Management Review (SMR)
  - Financial Management Oversight (FMO)
  - Procurement Systems Review (PSR)
  - Drug and Alcohol
  - Civil Rights

# Incidents by Area 2013-2017



# OFPO Updates

- Top Procurement Findings
  - Lacking Required Cost/Price Analysis
  - Lacking Independent Cost Estimate
  - No FTA Clauses
  - No Verification that Excluded Parties Not Participating
  - Procurement Policies and Procedures Not Evident

# OFPO Updates

- Top ADA Findings
  - Insufficient No-Show Policy
  - ADA Complementary Paratransit Service Deficiencies
  - Limits or Capacity Constraints on ADA Complementary Paratransit Service
  - Ada Service Provision Deficiencies



# OFPO Updates

- Top Maintenance Findings
  - Facility/Equipment Maintenance Plan Lacking or Inadequate
  - Late Vehicle Preventive Maintenance
  - Vehicle Maintenance Plan Incomplete or Out of Date
  - Late Facility/Equipment Preventive Maintenance

# Civil Rights Resources

- Civil Rights Overview/What's New
  - <https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/civil-rightsada>
- ADA
  - <https://www.transit.dot.gov/ada>
- DBE
  - <https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/disadvantaged-business-enterprise>
- Title VI
  - <https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/title-vi-civil-rights-act-1964>
- EEO
  - <https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/equal-employment-opportunity>

# General Updates

## FTA Region IV Civil Rights Contact Information:

**Doretha Foster**

*Civil Rights Program Analyst*

FTA Region IV

Phone: (404) 865-5633

E-mail: [Doretha.Foster@dot.gov](mailto:Doretha.Foster@dot.gov)

# Legal Updates

## Legal

### Buy America

- Procurement of Rolling Stock **the cost** of the components and subcomponents produced in the U.S. must be more than:
  - 60 percent for FY2016 and FY2017
  - 65 percent for FY2018 and FY2019
  - 70 percent for FY2020 and beyond
  - <https://www.transit.dot.gov/buyamerica>
- Link to the federal register notice covering FTA's Policy, on the Implementation of the Phased Increase in Domestic Content re: Rolling Stock
  - <https://www.gpo.gov/fdsys/pkg/FR-2016-09-01/pdf/2016-21007.pdf>
- FTA website **Buy America Fact Sheet**
  - <https://www.transit.dot.gov/funding/grants/buy-america-fact-sheet>

# General Updates

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FTA Region IV

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